

**IN THE UNITED STATES DISTRICT COURT
DISTRICT OF MASSACHUSETTS**

UNITED STATES OF AMERICA,

VS.

STATE STREET CORPORATION

Defendant

Crim. No. 17-10008-IT

JOINT STATUS REPORT

The parties respectfully submit this status report and request that the Court keep this matter open.

This deferred action is subject to the Deferred Prosecution Agreement (“DPA”) that the Government filed as an attachment to the pending Information. (ECF No. 1) The DPA provides for a three-year term, subject to extension, that runs from the date State Street retained the monitor contemplated in the agreement. State Street retained the monitor on September 15, 2017. The pandemic and resignation of the monitor (who has taken a position with the United States Securities and Exchange Commission) have delayed completion of the monitor’s work. The parties expect a replacement monitor to be appointed soon. In light of these circumstances, the parties have agreed to extend the DPA and monitorship terms until September 3, 2021, subject to possible extension or truncation of the terms depending on the monitor’s progress.

The DPA also provides that the Government need not dismiss the Information with prejudice until six months after the end of the DPA's term. Accordingly, the parties jointly request that the Court keep this matter open and propose to submit another status report no later than July 30, 2021.

Respectfully submitted,

STATE STREET CORPORATION

By its attorney:

/s/ John J. Butts

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NATHANIEL R. MENDELL,
ACTING UNITED STATES ATTORNEY

By: /s/ Stephen E. Frank

Stephen E. Frank
Assistant United States Attorney

Dated: March 15, 2021

CERTIFICATE OF SERVICE

I, John J. Butts, hereby certify that this notice filed through the ECF system will be sent electronically to the registered participants as identified on the Notice of Electronic Filing (NEF) and paper copies will be sent by mail to those indicated as non-registered participants on this day.

/s/ John J. Butts